United States
Department of
Agriculture

Food Safety
and Inspection
Service

Washington, D.C.
20250

APR 3 0 2012

Dear Official Import Inspection Establishment:

The United States Department of Agriculture (USDA), Food Safety and Inspection Service (FSIS) will implement the import components of the Public Health Information System (PHIS) on May 29, 2012. PHIS is a user-friendly, Web-based application that will consolidate and replace many existing FSIS systems, such as the Performance Based Inspection System (PBIS) and the Automated Import Information System (AIIS). PHIS will integrate our paper-based business processes and individual automated systems into one comprehensive and fully automated data-driven system.

The implementation of PHIS does not change the need for all shipments of meat, poultry, and egg products exported to the United States, to be presented for reinspection at an FSIS official import inspection establishment, or alternative FSIS authorized inspection location. The importer of record is the responsible party for a shipment and must ensure that the application for inspection is submitted to FSIS. Agency communication regarding decisions or actions to be taken on the product will be coordinated with the importer of record or designee.

As an official import inspection establishment, you will have the option to access PHIS over the Internet using a secure account. This will allow your business to interact electronically with FSIS in performing a wide variety of operations, such as responding to and appealing noncompliance records, viewing reports, and accessing Memorandums of Interview (MOI). Interested parties are required to obtain a USDA eAuthentication (eAuth) Level 2 account from USDA as the first step in the access process. The steps to obtain an account can be found on FSIS' website at http://www.fsis.usda.gov/PHIS/PHIS_Letter_120210_Almanza/index.asp.

The Agency recently completed a pilot with industry representatives which tested domestic establishment access to PHIS. However, when PHIS implements in May, the industry access feature will not yet be available. When available, further instructions on industry access will be posted to FSIS' website at http://www.fsis.usda.gov/PHIS/index.asp).

To facilitate the implementation of the PHIS, FSIS is proposing changes to the imported products inspection regulations. Proposed amendments to the foreign inspection certificate requirements include the development of standard operating procedures for sanitation, more specific product information that will assist in designating reinspection assignments, and clarification of the required prior notification for FSIS reinspection that will now parallel the entry filed with U.S. Customs and Border Protection (CBP). These changes are detailed below.

Sanitation Standard Operating Procedures.

Standard operating procedures for sanitation (Sanitation SOPs) are written procedures that official establishments develop, implement, and maintain to prevent direct contamination or adulteration of meat or poultry products. To ensure that imported meat and poultry products do not become contaminated while undergoing reinspection prior to entering the U.S. FSIS will be proposing in the *Federal Register* to amend 9 CFR 304.3(a) and 381.22(a) to clarify that before being granted Federal inspection, official import inspection establishments must have written Sanitation SOPs (9 CFR 416.11 through 416.17). These Sanitation SOPs are not required on May 29, 2012, though once the final rule is in effect, all official import inspection establishments currently operating under Federal inspection would then be required to develop Sanitation SOPs.

Import inspection personnel will continue to perform sanitation inspection tasks and other directed procedures within the official import inspection establishment that will be scheduled through PHIS. Unscheduled procedures prompted by a trigger event, such as a pre-stamping violation, will also be documented in PHIS. The agency will also maintain an establishment profile, based on the information provided on FSIS form 5200-1, *Application for Federal Inspection*, in PHIS.

PHIS electronic link with Customs and Border Protection

Among the many services it provides, PHIS will automate and streamline the import inspection application and certification processes. Specifically, PHIS will electronically link with the Custom and Border Protection's (CBP) Automated Commercial Environment (ACE) to create a unified import processing system for entering data. This system will enable U.S. importers and customs brokers to enter FSIS import inspection application data directly into ACE through the Automated Broker Interface (ABI) as part of the CBP entry process, thereby eliminating the need to file a separate paper application with FSIS. However, when PHIS implements in May, the CBP ACE will only transmit the entry/entry summary data existing in ACE to PHIS. Agency specific data (PGA Message Set) will not be transmitted until later in 2012.

In addition, PHIS will enable electronic interface with foreign governments' certifications systems, which will allow for government-to-government electronic certification, eliminating the need for a paper inspection certificate.

Application and presentation for reinspection

When PHIS is implemented on May 29, 2012, U.S. import verification activities will continue to be performed on imported meat, poultry, and processed egg products that have been inspected and certified by an equivalent foreign inspection system. Ultimately, eligibility of the foreign country, foreign establishment, and product will be determined by the system when the

application for FSIS import inspection is filed by the U.S. Importer of Record or U.S. Customs Broker. The information will be verified by the FSIS import inspector when the shipment is presented at the official import inspection establishment, using the official inspection certificate issued by the foreign inspection system.

*Interim Procedure*

Though FSIS has defined the information required to complete the FSIS application for inspection, these additional data elements have yet to be implemented by CBP. Until such time, FSIS will only receive a partial set of data electronically (Attachment 1).

Therefore, importers (or their brokers) will continue to submit a paper copy of the current import application (FSIS Form 9540-1 (version 03/26/2004)) to the FSIS import inspector at the designated official import inspection establishment identified on the application where the product will be presented for reinspection, no later than the time of filing with CBP. FSIS requests that the applicant provide the following information to "Box 31 Remarks:"
1. The e-mail address of the customs broker or applicant and,
2. The estimated date of arrival.

For applications that are incomplete or contain inaccurate information, the applicant will be requested to correct the application before import reinspection will proceed.

In preparation for implementation of Agency specific data (the PGA Message Set), FSIS has revised the *Import Inspection Application (Meat, Poultry & Egg Products)* (DRAFT FSIS Form 9540-1), which will be used for all meat, poultry and egg products shipments. This revised DRAFT FSIS Form 9540-1 is enclosed (Attachment 2) and highlights the source of each data element required on the form (e.g. entry summary data from ACE or the foreign inspection certificate). Importers or brokers can use this version to update their data entry screens for the ABI.

*Shipments from Canada*

When PHIS implements, Canadian exporters will no longer be required to submit an advance copy of the FSIS Form 9540-1 to the official import inspection establishment. In the case of egg products, the importer will no longer submit an advance copy of FSIS Form 5200-8 *(Import Request Egg Products-CFIA Application for Inspection)* to FSIS' Office of International Affairs. The FSIS Form 5200-8 will be replaced by FSIS Form 9540-1. When the importer or broker files their entry with CBP, this will provide FSIS with prior notification. The importer or designee will be responsible for submitting the paper copy of the FSIS form 9540-1 to the import inspector along with the official inspection certificate.

It should be noted that once PHIS implements, all importers may continue to use the paper application option, FSIS Form 9540-1, *Import Inspection Application,* in lieu of electronic entry through ACE. Further, a paper FSIS Form 9540-1 will continue to be required for shipments of meat, poultry, and egg products imported into ports where the CBP ACE system is not available (e.g., American Samoa, Guam, Commonwealth of Northern Mariana Islands).

*Failures to Present*

When PHIS is implemented, FSIS will be able to monitor the movement of imported product more effectively and efficiently. In the event that the shipment fails to present for FSIS reinspection at an official import inspection establishment, FSIS will consider that shipment as ineligible for entry and a request for redelivery will be initiated through CBP. The importer may be subject to appropriate civil penalties associated with this enforcement action. If the shipment fails to return to the official import inspection establishment (e.g. the shipment is delivered to the end user in the U.S.), the imported product, or any product produced from the ineligible product may be subject to FSIS recall or seizure.

Foreign Inspection Certificate Requirements

Whether a paper or electronic certificate is used, each shipment of meat, poultry or egg products certified for export to the United States must be accompanied with an inspection certificate, prepared in English, and contain the following information:

- Name of country, the date the certificate is issued, and if applicable, the foreign establishment number where the certificate was issued
- Name and foreign establishment number that produced the product
- Species used to produce the product and the source country, establishment number, if the source of the meat, poultry, or egg products originate from a country other than the exporting country
- Name and address of exporter or consignor
- Name and address of importer or consignee
- Number of units
- Net weight for each lot
- Shipping or identification mark on units
- The product's description, including the product's process category, product category, product group (Attachment 3)
- Production dates, when applicable
- Name (including signature) and title of person authorized to issue inspection certificates for products exported to the United States (paper certificates only).

The product lots identified on the import inspection application must match the product lots as certified on the foreign official inspection certificate. Lot groupings are based on product, species, product category and product group. The mixing, matching, splitting of lots is not permitted at the official import inspection establishment. The importer should coordinate with the foreign exporter to designate lots during the certification process in the foreign country.

FSIS has previously allowed foreign countries to guarantee the replacement of the foreign inspection certificate, which would allow continuation of FSIS reinspection pending the arrival of the certificate within 30 days of the guarantee. FSIS intends to discontinue this policy when the PHIS is implemented. FSIS will refuse entry to any shipment that has not been properly certified. Replacement certificates will be accepted, either electronically (e.g. scanned copy transmitted by e-mail (gov't-to-gov't) or replacement through eCertification) or paper. Once received, FSIS will continue with the reinspection.

FSIS reinspection

When PHIS implements in May, FSIS import sampling will continue to be allocated by country, process category, product category, and species. Reinspection of product is performance-based, intended to verify the effectiveness of the foreign inspection system. FSIS ensures that the official inspection certificates issued by the exporting country, whether in electronic or paper format, are authentic and accurate and randomly samples meat, poultry, and egg products prior to releasing the consignment into commerce of the United States. This random sampling focuses on public health risks and food safety, subjecting specific shipments to a more in-depth reinspection of product, which may include product examination or laboratory testing for pathogens and chemical residues.

If the shipment fails reinspection, the non-compliant product is refused entry and the automated system intensifies the rate of reinspection to ensure product compliance. FSIS has the discretion to increase the level of sampling for a specific product, country and/or foreign establishment due to cause other than import reinspection failures.

On May 29, 2012, PHIS will be operational in all U.S. import inspection establishments handling shipments from all countries eligible to export meat, poultry, and egg products. At that time,FSIS will replace the existing Import Manual of Procedures, which provides guidance to the FSIS inspection personnel, with FSIS Directives. FSIS will provide further guidance and information to both foreign governments as well as industry regarding PHIS prior to the implementation date. The updates to information related to PHIS will be available on FSIS' websiteat http://www.fsis.usda.gov/PHIS/index.asp.

If you have specific questions about PHIS implementation, please contact the FSIS Office of International Affairs (OIA), Import Inspection Division at (202) 720-9904 or by e-mail at importinspection@fsis.usda.gov.

Sincerely,

Dr. Ronald K. Jones
Assistant Administrator
Office of International Affairs


Attachments

**Attachment 1**

The following data elements from the FSIS import application (FSIS Form 9540-1) will be transferred from Automated Commercial Environment (ACE) into the Public Health Information System (PHIS), effective May 29, 2012, until the PGA message set is implemented by Customs and Border Protection:

- Country of Origin
- U.S. Point of Entry/CBP Port Code
- U.S. Port of Unlading/CBP Port Code
- Broker Reference Number
- Name and Address of Consignee
- Name and Address of Importer of Record
- Customs Entry Numbers
- Harmonized Tariff Sytem (HTS) Code  (of product)
- Bill of Lading number

**U.S. DEPARTMENT OF AGRICULTURE**
**FOOD SAFETY AND INSPECTION SERVICE**

# IMPORT INSPECTION APPLICATION
(Meat, Poultry & Egg Products)

| 1. COUNTRY OF ORIGIN | 2. INSPECTION CERTIFICATE NUMBER |
|---|---|
| Certificate | Certificate |
| | 3. EXPORTING ESTABLISHMENT NUMBER |
| | Certificate |

| 4. U.S. POINT OF ENTRY/CBP PORT CODE | 5. U.S. PORT OF UNLADING/CBP PORT CODE |
|---|---|
| Broker/Applicant | Broker/Applicant |

| 6. IMPORT EST./EGG BREAKING EST. NO. | 7. NAME & ADDRESS OF FSIS IMPORT EST./EGG BREAKING EST. |
|---|---|
| Broker/Applicant | Broker/Applicant |

| 8. NAME & ADDRESS OF CUSTOMS BROKER OR APPLICANT | 8a. REFERENCE NUMBER |
|---|---|
| Broker/Applicant | Broker/Applicant |
| | 8b. BROKER/APPLICANT PHONE NUMBER / 8c. FACSIMILE NUMBER |
| | Broker/Applicant / Broker/Applicant |
| | 8d. E-MAIL ADDRESS |
| | Broker/Applicant |

| 9. NAME & ADDRESS OF CONSIGNEE: | 10. IMPORTER OF RECORD NUMBER: |
|---|---|
| Certificate or Broker/Applicant | Broker/Applicant |
| | 11. NAME & ADDRESS OF IMPORTER OF RECORD: |
| | Broker/Applicant |

*Blocks 13 through 33 repeat for each lot on the inspection certificate*

| 12. LOT NO. | 13. SHIPPING MARK | 14. CUSTOM ENTRY NUMBER(S) | 15. PRODUCTION DATE(S) | |
|---|---|---|---|---|
| **1.** | Certificate | Broker/Applicant | FROM: Certificate | TO: Certificate |

| 16. NET WEIGHT OF LOT *(pounds)* | 17. SHIPPING UNIT PACKAGE TYPE NAME | 18. NUMBER OF UNITS | 19. IMMEDIATE UNIT PACKAGE TYPE NAME | 20. NUMBER PER SHIPPING UNIT | 21. SEAL NUMBER(S) |
|---|---|---|---|---|---|
| Certificate | Certificate | Certificate | Certificate or Broker/Applicant | Certificate or Broker/Applicant | Certificate |

| 22. PROCESSING EST. NO. | 23. SOURCE COUNTRY(S) *(if different from block 1)* | 24. SOURCE EST. NO. | 25. HTS CODE |
|---|---|---|---|
| Certificate | Certificate | Certificate | Broker/Applicant |

| 26. PROCESS CATEGORY | 27. PRODUCT CATEGORY | 28. PRODUCT GROUP |
|---|---|---|
| Certificate | Certificate | Certificate |

| 29. SPECIES (Dominant) | 29a. ADDITIONAL SPECIES *(if applicable)* | 30. DESCRIPTION OF PRODUCT |
|---|---|---|
| Certificate | Certificate | Certificate |

| 31. SUPPLEMENTAL PRODUCT CODE | 32. BILL OF LADING NUMBER(S) | 33. ESTIMATED DATE OF ARRIVAL |
|---|---|---|
| Certificate or Broker/Applicant | Broker/Applicant | Broker/Applicant |

| 12. LOT NO. | 13. SHIPPING MARK | 14. CUSTOM ENTRY NUMBER(S) | 15. PRODUCTION DATE(S) | |
|---|---|---|---|---|
| **2.** | | | FROM: | TO: |

| 16. NET WEIGHT OF LOT *(pounds)* | 17. SHIPPING UNIT PACKAGE TYPE NAME | 18. NUMBER OF UNITS | 19. IMMEDIATE UNIT PACKAGE TYPE NAME | 20. NUMBER PER SHIPPING UNIT | 21. SEAL NUMBER(S) |
|---|---|---|---|---|---|
| | | | | | |

| 22. PROCESSING EST. NO. | 23. SOURCE COUNTRY(S) *(if different from block 1)* | 24. SOURCE EST. NO. | 25. HTS CODE |
|---|---|---|---|
| | | | |

| 26. PROCESS CATEGORY | 27. PRODUCT CATEGORY | 28. PRODUCT GROUP |
|---|---|---|
| | | |

| 29. SPECIES (Dominant) | 29a. ADDITIONAL SPECIES *(if applicable)* | 30. DESCRIPTION OF PRODUCT |
|---|---|---|
| | | |

| 31. SUPPLEMENTAL PRODUCT CODE | 32. BILL OF LADING NUMBER(S) | 33. ESTIMATED DATE OF ARRIVAL |
|---|---|---|
| | | |

IN CONSIDERATION of the U.S. Director of Customs and Border Protection granting me/us permission to transfer the packages of foreign food product described on this form which are offered for entry into the United States, I/we agree, under bond filed with said director of Customs and Border Protection and subject to penalties prescribed in laws enacted by Congress and regulations issued there under by the Secretary of Homeland Security, to hold the said food product intact at the location indicated above until it has been passed by a food inspector from the Food Safety and Inspection Service or has been otherwise disposed of under the supervision of a U.S. Customs and Border Protection Officer or a FSIS inspector.

| 34. PRINTED NAME OF CUSTOMS BROKER OR APPLICANT | 35. SIGNATURE | 36. DATE |
|---|---|---|
| Broker/Applicant | | Broker/Applicant/ACE |

FSIS Form 9540-1 *(continuation sheet)*

| 12. LOT NO. 3. | 13. SHIPPING MARK | | 14. CUSTOM ENTRY NUMBER(S) | | 15. PRODUCTION DATE(S) | |
|---|---|---|---|---|---|---|
| | | | | | FROM: | TO: |

| 16. NET WEIGHT OF LOT *(pounds)* | 17. SHIPPING UNIT PACKAGE TYPE NAME | 18. NUMBER OF UNITS | 19. IMMEDIATE UNIT PACKAGE TYPE NAME | 20. NUMBER PER SHIPPING UNIT | 21. SEAL NUMBER(S) |
|---|---|---|---|---|---|
| | | | | | |

| 22. PROCESSING EST. NO. | 23. SOURCE COUNTRY(S) *(if different from block 1)* | 24. SOURCE EST. NO. | 25. HTS CODE |
|---|---|---|---|
| | | | |

| 26. PROCESS CATEGORY | 27. PRODUCT CATEGORY | 28. PRODUCT GROUP |
|---|---|---|
| | | |

| 29. SPECIES (Dominant) | 29a. ADDITIONAL SPECIES *(if applicable)* | 30. DESCRIPTION OF PRODUCT |
|---|---|---|
| | | |

| 31. SUPPLEMENTAL PRODUCT CODE | 32. BILL OF LADING NUMBER(S) | 33. ESTIMATED DATE OF ARRIVAL |
|---|---|---|
| | | |

| 12. LOT NO. 4. | 13. SHIPPING MARK | | 14. CUSTOM ENTRY NUMBER(S) | | 15. PRODUCTION DATE(S) | |
|---|---|---|---|---|---|---|
| | | | | | FROM: | TO: |

| 16. NET WEIGHT OF LOT *(pounds)* | 17. SHIPPING UNIT PACKAGE TYPE NAME | 18. NUMBER OF UNITS | 19. IMMEDIATE UNIT PACKAGE TYPE NAME | 20. NUMBER PER SHIPPING UNIT | 21. SEAL NUMBER(S) |
|---|---|---|---|---|---|
| | | | | | |

| 22. PROCESSING EST. NO. | 23. SOURCE COUNTRY(S) *(if different from block 1)* | 24. SOURCE EST. NO. | 25. HTS CODE |
|---|---|---|---|
| | | | |

| 26. PROCESS CATEGORY | 27. PRODUCT CATEGORY | 28. PRODUCT GROUP |
|---|---|---|
| | | |

| 29. SPECIES (Dominant) | 29a. ADDITIONAL SPECIES *(if applicable)* | 30. DESCRIPTION OF PRODUCT |
|---|---|---|
| | | |

| 31. SUPPLEMENTAL PRODUCT CODE | 32. BILL OF LADING NUMBER(S) | 33. ESTIMATED DATE OF ARRIVAL |
|---|---|---|
| | | |

| 12. LOT NO. 5. | 13. SHIPPING MARK | | 14. CUSTOM ENTRY NUMBER(S) | | 15. PRODUCTION DATE(S) | |
|---|---|---|---|---|---|---|
| | | | | | FROM: | TO: |

| 16. NET WEIGHT OF LOT *(pounds)* | 17. SHIPPING UNIT PACKAGE TYPE NAME | 18. NUMBER OF UNITS | 19. IMMEDIATE UNIT PACKAGE TYPE NAME | 20. NUMBER PER SHIPPING UNIT | 21. SEAL NUMBER(S) |
|---|---|---|---|---|---|
| | | | | | |

| 22. PROCESSING EST. NO. | 23. SOURCE COUNTRY(S) *(if different from block 1)* | 24. SOURCE EST. NO. | 25. HTS CODE |
|---|---|---|---|
| | | | |

| 26. PROCESS CATEGORY | 27. PRODUCT CATEGORY | 28. PRODUCT GROUP |
|---|---|---|
| | | |

| 29. SPECIES (Dominant) | 29a. ADDITIONAL SPECIES *(if applicable)* | 30. DESCRIPTION OF PRODUCT |
|---|---|---|
| | | |

| 31. SUPPLEMENTAL PRODUCT CODE | 32. BILL OF LADING NUMBER(S) | 33. ESTIMATED DATE OF ARRIVAL |
|---|---|---|
| | | |

| 12. LOT NO. 6. | 13. SHIPPING MARK | | 14. CUSTOM ENTRY NUMBER(S) | | 15. PRODUCTION DATE(S) | |
|---|---|---|---|---|---|---|
| | | | | | FROM: | TO: |

| 16. NET WEIGHT OF LOT *(pounds)* | 17. SHIPPING UNIT PACKAGE TYPE NAME | 18. NUMBER OF UNITS | 19. IMMEDIATE UNIT PACKAGE TYPE NAME | 20. NUMBER PER SHIPPING UNIT | 21. SEAL NUMBER(S) |
|---|---|---|---|---|---|
| | | | | | |

| 22. PROCESSING EST. NO. | 23. SOURCE COUNTRY(S) *(if different from block 1)* | 24. SOURCE EST. NO. | 25. HTS CODE |
|---|---|---|---|
| | | | |

| 26. PROCESS CATEGORY | 27. PRODUCT CATEGORY | 28. PRODUCT GROUP |
|---|---|---|
| | | |

| 29. SPECIES (Dominant) | 29a. ADDITIONAL SPECIES *(if applicable)* | 30. DESCRIPTION OF PRODUCT |
|---|---|---|
| | | |

| 31. SUPPLEMENTAL PRODUCT CODE | 32. BILL OF LADING NUMBER(S) | 33. ESTIMATED DATE OF ARRIVAL |
|---|---|---|
| | | |

# FSIS Product Categorization

FSIS has developed this document to assist with accurate identification of the meat, poultry, and egg products certified for export to the United States.

**Process Category**:

There are nine (9) process categories identified in 9CFR 417.2(b). Of the nine (9) listed, Slaughter is considered an internal process that occurs in establishments where the animals or birds are slaughtered.  This category is not used for imported products.  An additional process category that is not contained in 9CFR 417.2(b) is Egg Products.

Note that FSIS has recently renamed two process categories: Raw Product – Ground and Raw Product – Not Ground are now referred to as Raw Product – Non-Intact and Raw Product – Intact, respectively. However, use of either terminology will be acceptable to FSIS.

Note that official foreign inspection certificates should reflect the process category name, rather than the obsolete coding previously used by FSIS (e.g. 03B, 03C, etc.).  These codes have been included in the table as some countries previously certified the process categories on the inspection certificates with this coding.

Raw Product – Non-Intact: This process category applies to establishments that further process by using processing steps such as grinding, comminuting, injecting product with solutions, or mechanical tenderization by needling, cubing, pounding devices or other means of creating non-intact product. Examples of finished products in this category include raw products reconstructed into formed entrees, mechanically separated species and advanced meat recovery product. If the establishment produces bench trim or pieces of meat produced from non-intact meat, then the bench trim or pieces are also considered non-intact.

 Raw Product – Intact: FSIS considers raw products to be intact unless they have undergone any of the processes associated with the Raw Product – Non-Intact process category.

Thermally Processed – Commercially Sterile: This process category applies to establishments that use a thermal processing step. Thermally processed, commercially sterile finished products are products in cans or flexible containers such as pouches, or semi-rigid, as in lunch bowls. Thermally processed, commercially sterile products are addressed in Subpart G, 318.300 – 311 for meat food products, and Subpart X, 381.300 to 311, for poultry products.

Not Heat Treated – Shelf Stable: This process category applies to establishments that further process by curing, drying, or fermenting processing step as the sole means by which product achieves food safety. Establishments in this process category may apply a low-level heat treatment as long as the heat treatment is not used as means to achieve food safety. The finished products produced under this Process Categories are shelf stable. FSIS does not require shelf stable products to be frozen or refrigerated for food safety purposes.

Heat Treated – Shelf Stable: This process category applies to establishments that further process by using a heat treatment processing step to achieve food safety in combination with curing, drying, or fermenting processing step to achieve food safety. The finished products produced under this process category are shelf stable. FSIS does not require shelf stable products to be frozen or refrigerated for food safety purposes. If the establishment produces using the processing steps applicable under this process category and the product is not shelf stable, then establishment is producing product under the process category Fully Cooked – Not Shelf Stable.

# FSIS Product Categorization

Fully Cooked – Not Shelf Stable: This process category applies to establishments that further process products by using primarily a full lethality heat process step (e.g. cooking) to achieve food safety. The finished products that establishments produce under this process category are not shelf stable. FSIS requires the products to be frozen or refrigerated for food safety purposes. These products also meet the definition of Ready to Eat (RTE) as defined in 9 CFR 430.1.

Heat Treated but Not Fully Cooked – Not Shelf Stable: This process category applies to an establishment that further processes products that are (1) not ready-to-eat products (NRTE) or (2) raw otherwise processed products that are refrigerated or frozen throughout the product's shelf life. Meat and poultry products are produced using a heat process that meets one of the following criteria:

   a. The heat processing step is not adequate to achieve food safety. Products may be partially cooked or heated to set batter on a raw product.

   b. The heat processing step applied to meat or poultry component was adequate to achieve food safety, however product is further processed, assembled, or packaged so that cooked meat or poultry products contacts non-ready to-eat product ingredients. In this case, the final product is in a form that is not edible without additional preparing to achieve food safety. An example of this product is pot pie product that contains cooked chicken and raw dough.

Products with Secondary Inhibitors – Not Shelf Stable: This process category applies to establishments that further process by using a curing processing step or a processing step using other ingredients that inhibit bacterial growth. These products are generally refrigerated or frozen throughout the product's shelf life. Depending on the process and ingredients, these products may or may not meet the definition of RTE as defined in 9 CFR 430.1.

Eggs/Egg Products: This process category applies to shell eggs and egg products.

**Product Category** (with Applicable Species)

The Product Categories are shown in the FSIS Product Categorization table with the appropriate species indicated for each.

The Species designations FSIS is using for PHIS are: for Meat: Beef, Veal, Pork, Lamb, Mutton, and Goat, including for Equine: Horse, and Equine other than horse; for Poultry: Chicken, Turkey, Duck, Goose, Guinea, and Squab, including for Ratites: Emu, Ostrich, and Rhea; for Eggs: Chicken, Turkey, Duck, Goose and Guinea; and for Egg Products: Chicken, Turkey, Duck, Goose, and Guinea. For each product, the certification must indicate which species is predominant in the product to assure the appropriate regulations are applied to the product when applicable.

Product Group. The product group defines the product down to a level that FSIS can program appropriate types of inspections (TOI) for examinations and laboratory sampling. Regulatory references are added where applicable for clarification. While these appear to be self-explanatory, for Raw Product – Intact, Cuts are cuts of meat (e.g., steaks, chops, etc.) that are below the Primal and Subprimal level.

# FSIS Product Categorization

The following table displays the process categories and the types of finished products that can be present in a process category.

| Finished Product Types by Process Category | | | | |
|---|---|---|---|---|
| Process Categories | Finished Products | | | |
| | Raw Product | NRTE Product | RTE Products | Thermally Processed Product |
| Slaughter | ● | | | |
| Raw –Non Intact (Raw Ground) | ● | | | |
| Raw – Intact (Raw Not Ground) | ● | | | |
| Thermally Processed – Commercially Sterile | | | | ● |
| Not Heat-Treated - Shelf Stable | | ● | ● | |
| Heat Treated – Shelf Stable | | ● | ● | |
| Fully Cooked – Not Shelf Stable | | | ● | |
| Heat Treated but Not Fully Cooked – Not Shelf Stable | | ● | | |
| Product with Secondary Inhibitors – Not Shelf Stable | | ● | ● | |
| Eggs/Egg Products | Not Applicable | | | |

**Ready to Eat** applies to any product intended for human consumption without further preparation steps.   Note:  Products that appear fully cooked or are customarily consumed without further preparation, but the label does not include cooking instructions, are by default considered RTE.

RTE fully cooked means that the products have been sufficiently cooked so that they are safe to eat as they are, with no further preparation required by the consumer.  Note:  Many of these products are customarily eaten hot, and heating instructions may be included on the label. This does not affect the classification of these products as RTE.

Some frozen RTE products require reheating for palatability. These frozen products are still safe to eat without this further preparation by the consumer and are therefore still considered RTE.  Some examples include: fully cooked hams, cooked beef, roast beef, pastrami, corned beef, hot dogs, meat loaves, meat and poultry salads, sliced luncheon meats, baked chicken, frozen entrees, and poultry rolls.  These finished products must labeled in a manner that identifies them as RTE by the consumer.

Fresh or frozen entrees with fully cooked meat or poultry portions combined with fully cooked sauces, vegetables, pasta, or other ingredients are RTE products.  These products are designed to be re-heated by the consumer, and may include instructions for re-heating.

**Not Ready to Ea**t applies to products with cooking instructions or labeled with statements on the principal display panel such as "Cook Thoroughly, Cook and Serve, Not Ready to Eat,  or For Safety and Quality- follow these cooking instructions."  These products are considered NRTE.

# FSIS Product Categorization

Some NRTE finished products are heat treated but are not fully cooked. These NRTE products are required to have sufficient labeling information to inform the consumer that the product must be cooked for safety. This information may be contained within the product name on the principal display panel, as well as bear cooking instructions that refer to cooking the product for safety rather than heating the product for best quality. The product often times may bear a safe handling instruction.

Some NRTE finished products are prepared with both meat/poultry components that have received a lethality treatment in combination with non-meat/poultry components that need to receive a lethality treatment. These multi-component products, e.g., meals, dinners, and entrees, have labeling features which are conspicuous so that intended users are fully aware that the product must be cooked for safety. The principle display panel on the label defines these products, e.g., "Cook and Serve, "Must be thoroughly cooked," "Cook before eating", and the product must include cooking instructions.

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Raw Product – Non-Intact | Raw ground, comminuted, or otherwise non-intact beef | Beef, Veal | -Ground Beef [§319.15(a)]<br>-Hamburger [§319.15(b)]<br>-Beef Patty Product [§319.15(c)]<br>-Formed Steaks [§319.15(d)]<br>-Sausage [§319.142; 319.143]<br>-Advanced Meat Recovery Product (AMR) [§318.24]<br>-Finely Textured Beef<br>-Non-Intact Cuts<br>-Trimmings from Non-Intact<br>-Bench Trim from Non-Intact<br>-Other Non-Intact<br>-Low Temperature Rendered Product<br>-Partially Defatted Chopped Beef (PDCB)<br>-Partially Defatted Beef Fatty Tissue (PDBFT)[§319.15(a)] |
| | Raw ground, comminuted, or otherwise non-intact pork | Pork | -Ground Product<br>-Sausage [§319.141; 319.143; 319.144; 319.145]<br>-Other Non-Intact (includes PDPFT [§319.29])<br>-Advanced Meat Recovery Product (AMR) [§318.24]<br>-Mechanically Separated [§319.5] |
| | Raw ground, comminuted, or otherwise non-intact meat – other: | Goat, Lamb, Mutton, Horse, Equine other than horse | -Ground Product<br>-Sausage<br>-Other Non-Intact<br>-Advanced Meat Recovery Product (AMR) [§318.24]<br>-Mechanically Separated [§319.5] |
| | Raw ground, comminuted, or otherwise non-intact chicken | Chicken | -Ground Product<br>-Sausage<br>-Other non-intact<br>-Mechanically Separated [§381.173] |
| | Raw ground, comminuted, or otherwise non-intact turkey | Turkey | -Ground Product<br>-Sausage<br>-Other non-intact<br>-Mechanically Separated [§381.173] |
| | Raw ground, comminuted, or otherwise non-intact poultry – other | Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Ground Product<br>-Sausage<br>-Other non-intact<br>-Mechanically Separated [§381.173] |
| Raw Product – Intact | Raw Intact Beef | Beef, Veal | -Carcass (including halves or quarters)<br>-Primals and Subprimals<br>-Cuts<br>-Bnls. Mfg. Trimmings<br>-Head Meat |

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Raw Product – Intact (con't) | Raw Intact Beef (con't) | Beef, Veal | -Cheek Meat<br>-Weasand Meat<br>-Heart Meat<br>-Edible Offal<br>-Other Intact |
| | Raw Intact Pork | Pork | -Carcass (including halves or quarters)<br>-Primals and Subprimals<br>-Cuts<br>-Bnls. Mfg. Trimmings<br>-Edible Offal<br>-Other Intact |
| | Raw Intact Meat – Other | Goat, Lamb, Mutton, Horse, Equine other than horse | -Carcass (including halves or quarters)<br>-Primals and Subprimals<br>-Cuts<br>-Bnls. Mfg. Trimmings<br>-Edible Offal<br>-Other Intact |
| | Raw Intact Chicken | Chicken | -Whole Bird<br>-Poultry Parts (including necks/feet & giblets)<br>-Boneless and/or Skinless Parts<br>-Bnls. Mfg. Trimmings |
| | Raw Intact Turkey | Turkey | -Whole Bird<br>-Poultry Parts (including necks/feet & giblets)<br>-Boneless and/or Skinless Parts<br>-Bnls. Mfg. Trimmings |
| | Raw Intact Poultry – Other | Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Whole Bird<br>-Poultry Parts (including necks/feet & giblets)<br>-Boneless and/or Skinless Parts<br>-Bnls. Mfg. Trimmings |
| Thermally Processed – Commercially Sterile | Thermally Processed – Commercially Sterile | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Sausage [§319.140; 319.180; 319.181] |
| | | Pork | -Ham (includes: Shoulders, Picnics, Butts and Loins [§319.104]; Chopped Ham, Pressed Ham, Spiced Ham, etc. [§319.105]) |
| | | All meat or poultry | -Soups<br>-Corned (Species)<br>-Other |
| | | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Sausage |

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Not Heat Treated – Shelf Stable | Not Ready-To-Eat (NRTE) Otherwise Processed Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Other |
| | Not Ready-To-Eat (NRTE) Otherwise Processed Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Other |
| | Ready-To-Eat (RTE) Acidified/ Fermented Meat (w/o cooking) | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Sausage/Salami – Not Sliced<br>-Sausage/Salami – Sliced<br>-Other – Not Sliced<br>-Other – Sliced |
| | Ready-To-Eat (RTE) Acidified/ Fermented Poultry (w/o cooking) | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Sausage/Salami – Not Sliced<br>-Sausage/Salami – Sliced<br>-Other – Not Sliced<br>-Other – Sliced |
| | Ready-To-Eat (RTE) Dried Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Jerky<br>-Other, Sliced (Except Ham)<br>-Other, Not Sliced (Except Ham) |
| | Ready-To-Eat (RTE) Dried Meat | Pork | -Ham, Sliced<br>-Ham, Not Sliced<br>(Ham includes: Shoulders, Picnics, Butts and Loins [§319.104]; Chopped Ham, Pressed Ham, Spiced Ham, etc. [§319.105]) |
| | Ready-To-Eat (RTE) Dried Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Jerky<br>-Other, Sliced<br>-Other, Not Sliced |
| | Ready-To-Eat (RTE) Salt Cured Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Not Sliced<br>-Sliced |

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Not Heat Treated – Shelf Stable (con't) | Ready-To-Eat (RTE) Salt Cured Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Not Sliced<br>-Sliced |
| Heat Treated – Shelf Stable | Not Ready-To-Eat (NRTE) Otherwise Processed Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Other |
| | Not Ready-To-Eat (NRTE) Otherwise Processed Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Other |
| | Ready-To-Eat (RTE) Acidified/ Fermented Meat (w/o cooking) | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Sausage/Salami – Not Sliced<br>-Sausage/Salami – Sliced<br>-Other – Not Sliced<br>-Other – Sliced |
| | Ready-To-Eat (RTE) Acidified/ Fermented Poultry (w/o cooking) | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Sausage/Salami – Not Sliced<br>-Sausage/Salami – Sliced<br>-Other – Not Sliced<br>-Other – Sliced |
| | Ready-To-Eat (RTE) Dried Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Jerky<br>-Other, Sliced (Except Ham)<br>-Other, Not Sliced (Except Ham) |
| | Ready-To-Eat (RTE) Dried Meat | Pork | -Ham, Sliced<br>-Ham, Not Sliced<br>(Ham includes: Shoulders, Picnics, Butts and Loins [§319.104]; Chopped Ham, Pressed Ham, Spiced Ham, etc. [§319.105]) |
| | Ready-To-Eat (RTE) Dried Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Jerky<br>-Other, Sliced<br>-Other, Not Sliced |

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Heat Treated – Shelf Stable (con't) | Ready-To-Eat (RTE) Salt Cured Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Not Sliced<br>-Sliced |
| | Ready-To-Eat (RTE) Salt Cured Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Not Sliced<br>-Sliced |
| Fully Cooked – Not Shelf Stable | Ready-To-Eat (RTE) Fully Cooked Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Hot Dog Products (including applicable sausages) [§319.180; 319.181]<br>-Sausage products [§319.140]<br>-Salad/Spread/Pate<br>-Meat + Non-meat Component<br>-Diced/Shredded<br>-Nuggets<br>-Parts<br>-Other, Sliced (Except Ham)<br>-Other, Not Sliced (Except Ham)<br>-Patties (Except Ham) |
| | Ready-To-Eat (RTE) Fully Cooked Meat | Pork | -Ham, Sliced<br>-Ham, Not Sliced<br>(Ham includes: Shoulders, Picnics, Butts and Loins [§319.104]; Chopped Ham, Pressed Ham, Spiced Ham, etc. [§319.105])<br>-Ham Patties [§319.105(d)] |
| | Ready-To-Eat (RTE) Fully Cooked Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Hot Dog Products<br>-Salad/Spread/Pate<br>-Poultry + Non-poultry component<br>-Sausage Products<br>-Diced/Shredded<br>-Patties/Nuggets<br>-Parts<br>-Other, sliced<br>-Other, not sliced |
| | Ready-To-Eat (RTE) Fully Cooked Meat (w/o post lethality exposure) | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Hot Dog Products (including applicable sausages) [§319.180; 319.181]<br>-Sausage products [§319.140]<br>-Salad/Spread/Pate<br>-Meat + Non-meat Component<br>-Diced/Shredded<br>-Nuggets<br>-Parts<br>-Other, Sliced (Except Ham)<br>-Other, Not Sliced (Except Ham)<br>-Patties (Except Ham) |

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Fully Cooked – Not Shelf Stable (con't) | Ready-To-Eat (RTE) Fully Cooked Meat (w/o post lethality exposure) | Pork | -Ham, Sliced<br>-Ham, Not Sliced<br>(Ham includes: Shoulders, Picnics, Butts and Loins [§319.104]; Chopped Ham, Pressed Ham, Spiced Ham, etc. [§319.105])<br>-Ham Patties [§319.105(d)] |
| | Ready-To-Eat (RTE) Fully Cooked Poultry (w/o post lethality exposure) | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Hot Dog Products<br>-Salad/Spread/Pate<br>-Poultry + Non-poultry component<br>-Sausage Products<br>-Diced/Shredded<br>-Patties/Nuggets<br>-Parts<br>-Other, sliced |
| Heat Treated but Not Fully Cooked – Not Shelf Stable | Not Ready-To-Eat (NRTE) Otherwise Processed Meat (con't) | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Other<br>-Sausage products [§319.140] |
| | Not Ready-To-Eat (NRTE) Otherwise Processed Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Sausages<br>-Other |
| Products with Secondary Inhibitors - Not Shelf Stable | Not Ready-To-Eat (NRTE) Otherwise Processed Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Other |

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Products with Secondary Inhibitors - Not Shelf Stable (con't) | Not Ready-To-Eat (NRTE) Otherwise Processed Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Rendered Fats, Oils<br>-Bacon<br>-Meals/Dinners/Entrees<br>-Sandwiches/Filled Rolls/ Wraps<br>-Sauces<br>-Pies/Pot Pies<br>-Smoked Parts<br>-Soups<br>-Other |
| | Ready-To-Eat (RTE) Salt Cured Meat | Beef, Veal, Pork, Goat, Lamb, Mutton, Horse, Equine other than horse | -Not Sliced<br>-Sliced |
| | Ready-To-Eat (RTE) Salt Cured Poultry | Chicken, Turkey, Duck, Goose, Guinea, Squab, Emu, Ostrich, Rhea | -Not Sliced<br>-Sliced |
| Eggs/Egg Products | Shell Eggs | Chicken, Turkey, Duck, Goose, Guinea | -for breaking<br>-for consumer – unpasteurized<br>-for consumer – pasteurized<br>-for consumer – irradiated |
| | Egg Products | Chicken, Turkey, Duck, Goose, Guinea | -Pasteurized (Frozen or Liquid)<br>· Whole egg (with or without added ingredients)<br>· Egg whites (with or without added ingredients)<br>· Yolk (with or without added ingredients)<br>· Egg Products (blends of whole egg, egg whites and/or yolks) (with or without added ingredients)<br><br>-Pasteurized (Tanker/Large Totes)<br>· Whole egg (with or without added ingredients)<br>· Egg whites (with or without added ingredients)<br>· Yolk (with or without added ingredients)<br>· Egg Products (blends of whole egg, egg whites and/or yolks) (with or without added ingredients)<br><br>-Unpasteurized (Frozen or Liquid)<br>· Whole egg (with or without added ingredients)<br>· Egg whites (with or without added ingredients)<br>· Yolk (with or without added ingredients)<br>· Egg Products (blends of whole egg, egg whites and/or yolks) (with or without added ingredients)<br><br>-Unpasteurized (Tanker/Large Totes)<br>· Whole egg (with or without added ingredients)<br>· Egg whites (with or without added ingredients)<br>· Yolk (with or without added ingredients)<br>· Egg Products (blends of whole egg, egg whites and/or yolks) (with or without added ingredients) |

# FSIS Product Categorization

| [HACCP] Process Category | [Finished]Product Category | Species | Product Group |
|---|---|---|---|
| Eggs/Egg Products (con't) | Egg Products (con't) | Chicken, Turkey, Duck, Goose, Guinea | -Dried<br>· Whole egg (with or without added ingredients)<br>· Egg whites (with or without added ingredients)<br>· Yolk (with or without added ingredients)<br>· Egg Products (blends of whole egg, egg whites and/or yolks) (with or without added ingredients) |